

10-18-04

EV410135618US

**CERTIFICATE OF MAILING BY "EXPRESS MAIL"**

I hereby certify that this correspondence is being deposited with the United States Postal Service as "Express Mail Post Office To Addressee" Label No. EV410135618US, addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on October 14, 2004.

Dated: October 14, 2004

*Thomas L. Evans*  
Thomas L. Evans

Atty. Docket No.  
005156.00011

**PATENT**

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In Re Application Of:

Timothy BROWN

Serial No.: 09/625,989

Filed: July 26, 2000

Examiner: The T. Ho

Group Art Unit: 2126

For: A METHOD FOR USING A FLOATING PALLET FOR A DIGITAL ASSET  
MANAGEMENT SYSTEM IN A PLURALITY OF DIFFERENT APPLICATIONS

**INFORMATION DISCLOSURE STATEMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Pursuant to his duty of disclosure under 37 C.F.R. §1.56, Applicant brings the following documents to the attention of the Examiner in the above-identified patent application:

- (1) U.S. Patent No. 5,915,250 to Jain et al., issued June 22, 1999;
- (2) U.S. Patent No. 5,918,228 to Rich et al., issued June 29, 1999;
- (3) U.S. Patent No. 6,072,994 to Phillips et al., issued June 6, 2000;
- (4) U.S. Patent No. 6,202,207 to Donohue, issued March 13, 2001;
- (5) U.S. Patent No. 6,332,146 to Jebens et al., issued December 18, 2001;
- (6) U.S. Patent No. 6,370,573 to Bowman-Amuah, issued April 9, 2002;
- (7) U.S. Patent No. 6,167,395 to Beck et al., issued December 26, 2000;

09625989

10/21/2004 AUNDRAFI 00000004 190733

01 FC:1806 180.00 DA

- (8) Office Action dated June 4, 2004 from related application 09/625,991;
- (9) Office Action dated November 17, 2003 from related application 09/625,991;
- (10) Office Action dated May 22, 2003 from related application 09/625,991;
- (11) Office Action dated November 20, 2002 from related application 09/625,991; and
- (12) Office Action dated May 22, 2002 from related application 09/625,991.

A PTO-1449 form is included herewith listing these documents, and a copy of each of these documents is attached.

Since Official Actions have issued for this application, Applicant also submits herewith the fee in the amount of \$180 in accordance with 37 C.F.R. §1.97(e)(2), to be charged to Deposit Account No. 19-0733. If, however, the Commissioner deems that any additional fees are necessary for the filing of this Information Disclosure Statement, then the Commissioner is authorized to charge such additional fees to said Deposit Account.

In conclusion, Applicants respectfully ask that the documents listed above be considered by the Examiner in the above-identified patent application and that they be made officially of record therein. It is further requested that a listing of the same appear on the face of any patent that may issue from this application.

Respectfully submitted,

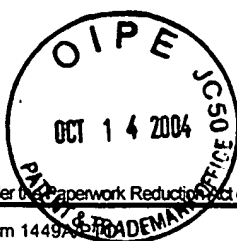
BANNER & WITCOFF, LTD.

Dated: October 14, 2004

By:



Thomas L. Evans, Reg. No. 35,805  
1001 G Street, N.W., 11<sup>th</sup> Floor  
Washington, D.C. 20001-4597  
Tel: (202) 824-3000  
Fax: (202) 824-3001



PTO/SB/08a (08-03)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A (07-00)

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet 1 of 1

**Complete if Known**

|                        |               |
|------------------------|---------------|
| Application Number     | 09/625,989    |
| Filing Date            | July 26, 2000 |
| First Named Inventor   | Timothy Brown |
| Art Unit               | 2126          |
| Examiner Name          | The T. Ho     |
| Attorney Docket Number | 005156.00011  |

**U.S. PATENT DOCUMENTS**

| Examiner<br>Initials * | Cite<br>No. <sup>1</sup> | Document Number                            | Publication Date<br>MM-DD-YYYY | Name of Patentee or Applicant of<br>Cited Document | Pages, Columns, Lines, Where Relevant<br>Passages or Relevant<br>Figures Appear |
|------------------------|--------------------------|--|--------------------------------|--|---|
|                        |                          | Number - Kind Code <sup>2</sup> (if known) |                                |  |   |
|                        |                          | US- 5,915,250                              | 06-22-1999                     | Jain et al.  |   |
|                        |                          | US- 5,918,228                              | 06-29-1999                     | Rich et al.  |   |
|                        |                          | US- 6,072,994                              | 06-06-2000                     | Phillips et al.                                    |   |
|                        |                          | US- 6,202,207                              | 03-13-2001                     | Donohue  |   |
|                        |                          | US- 6,332,146                              | 12-18-2001                     | Jebens et al.                                      |   |
|                        |                          | US- 6,370,573                              | 04-09-2002                     | Bowman-Amuah                                       |   |
|                        |                          | US- 6,167,395                              | 12-26-2000                     | Beck et al.  |   |

**NON PATENT LITERATURE DOCUMENTS**

| Examiner<br>Initials * | Cite<br>No. <sup>1</sup> | Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published. | T <sup>2</sup> |
|------------------------|--------------------------|---|----------------|
|                        |                          | Office Action dated June 4, 2004 from related application 09/625,991  |                |
|                        |                          | Office Action dated November 17, 2003 from related application 09/625,991   |                |
|                        |                          | Office Action dated May 22, 2003 from related application 09/625,991  |                |
|                        |                          | Office Action dated November 20, 2002 from related application 09/625,991   |                |
|                        |                          | Office Action dated May 22, 2002 from related application 09/625,991  |                |

Examiner  
SignatureDate  
Considered

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. <sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

EXPRESS MAIL LABEL NO. EV410135618US